



COPY

OFFICE OF HOMELAND SECURITY

September 15, 2008

Sgt. Ronald Grimm
Homeland Security Coordinator
Fresno Urban Area Security Initiative
Fresno, City of
2326 Fresno Street
Fresno, CA 93721

Monitoring Report #M08-026

Dear Sgt. Grimm

On August 12, 2008, the Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, James Lewis conducted a desk monitoring review for the purpose of monitoring the City of Fresno Urban Area Security Initiative (UASI) OHS Grant Programs. I wish to thank you and your staff for the courtesy extended to Mr. Lewis during the review process and during the site visit conducted on July 1, 2008. Enclosed, you will find the monitoring report for the following grants:

GRANT	PROGRAM NAME	PERIOD MONITORED
2004-0014 #019-27000	FY04 Urban Area Security Initiative (UASI)	12/01/03 - 02/28/07

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete. **If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.**

The corrective action process provides two options:

Option One – The subgrantee self certifies by the submission of an Action Plan that details the corrective steps implemented, and that any finding(s) noted in the monitoring report are resolved.

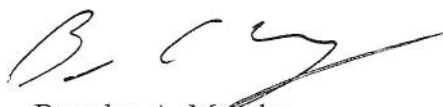
Option Two – Submission of an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff (i.e. technical assistance).

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact me at (916) 323-9153.

Sincerely,



Brendan A. Murphy
Deputy Director
Division of Administration
Grants Monitoring & Audits Unit

Attachment

cc: Judy Garcia, City of Fresno UASI Police Grant Administrator
Sarah Knight, OHS Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

TO: Governor's Office of Homeland Security Grant Numbers: 2004-0045
Grants Management Section
Monitoring & Audits Unit Monitoring Control #M08-026
State Capitol Number:
Sacramento, CA 95814

Attention: Stacy Mason-Vegna Response Due: Dec. 1, 2008
Program Manager

FROM: Subgrantee: _____

Option One

☐

I have reviewed the above referenced monitoring report and have submitted for your records a copy of the subgrantee's Action Plan detailing the corrective steps that have been implemented, and self certify that the findings noted in the monitoring report have been corrected.

Option Two

☐

I have reviewed the above referenced monitoring report and have submitted for your review and approval, an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff.

Authorized Signature

Title

Date

Typed Name

Title

Telephone Number



**CALIFORNIA GOVERNOR'S
OFFICE OF HOMELAND SECURITY
MONITORING NARRATIVE REPORT**

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2004-0014 #019-27000	FY04 Urban Area Security Initiative (UASI)	12/01/2003 to 02/28/2007	\$7,652,933

City of Fresno Urban Area Security Initiative			
AUTHORIZED AGENT:	Sgt. Ronald Grimm	ADDRESS:	2326 Fresno Street Fresno, CA 93721
CONTACT EMAIL:	Ron.Grimm@fresno.gov		
CONTACT PHONE NUMBER:	(559) 621-2329		
ALTERNATE POINT of CONTACT:	Judy Garcia		
CONTACT EMAIL:	Judy.garcia@fresno.gov		
PROGRAM REPRESENTATIVE:	Sarah Knight	E-mail:	Sarah.Knight@ohs.ca.gov
PHONE NUMBER:	(916) 322-9067		
PROGRAM MONITOR:	James Lewis	E-mail:	James.Lewis@ohs.ca.gov
PHONE NUMBER:	(916) 322-2335	DATE OF MONITORING:	July 1, 2008

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Judy Garcia	Police Grants Administrator	Fresno Police Dept.
Courtney Espinoza	Associate Analyst	Fresno Police Dept.
Sgt. Ronald Grimm	Homeland Security Coordinator	Fresno Police Dept.

Prepared by:

James Lewis, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

Date

9/12/2008

Approved by:

Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring & Audits Unit

Date

9/12/08

City of Fresno UASI Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2	2				2
Grant Assurances	1	1				1
Grant Approval Notification	2	2				2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1	1				1
B. Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2	1	1			2
Training	1				1	1
Planning	1				1	1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1	1				1
Advance of Funds	2	2				2
Change Requests/Modifications	2	2				2
Maintenance of Records	1	1				1
D. Fiscal: Personnel Services						
Management and Administrative Services	3	2	1			3
Overtime/Back Fill	3	3				3
E. Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3	2	1			3
Property Management & Records Keeping	2	2				2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
Total	49	39	3	0	7	49

City of Fresno UASI Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Required

MONITORING REPORT DETAIL

A. Administrative Review: Subgrantee in compliance (6 items); Not applicable for Subgrantee (2 items).

1. **Review of Audit Report:** Subgrantee in compliance (2 items).
2. **Grant Assurances:** Subgrantee in compliance (1 item).
3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
4. **Performance Reports:** Not applicable for Subgrantee (1 item).
5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
6. **Publication of Materials:** Not applicable for Subgrantee (1 item).

B. Programmatic Review: Subgrantee in compliance (2 items); Subgrantee not in compliance (2 items); Not applicable for Subgrantee (2 items).

1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
2. **Exercise:** Subgrantee not in compliance (2 items).
 - a. Exercise Activities/costs allowable and applicable. Subgrantee not in compliance (1 item).

Requirement: Planned Exercises are to be conducted in the manner and for the purposes set forth in the individual grant guides (e.g. number of required exercises per year; types of exercises; reporting requirements, and the management and execution of the exercise). Per the FY 2004 UASI Grant Guide, "Exercises must be threat and performance based, in accordance with ODP's Homeland Security Exercise and Evaluation Program (HSEEP)..."

Finding #1: Although there were no Exercise allocations in the grant, the presence of the subgrantee's After Action Report and the Exercises performed, activities applicable and recorded now requires the Program Monitor to request the subgrantee to state under what category are these Exercises since they were not previously allocated.

City of Fresno UASI Monitoring Report

- B. 2. a. **Action required:** The subgrantee must provide an explanation in the Corrective Action Plan about the tabletop Exercises and the budget category for allocation and reimbursement, if Homeland Security were used to fund the exercises.

- b. *After Action Report submitted.* Not applicable for Subgrantee (1 item).

Note: Page 26 of the FY2004 UASI Grant Guide states in part, that After Action Reports (AARs) for all exercises must be provided to the California Military Department (CMD) within 45 days following completion. There are no Exercises for this grant nor did the Project Summary indicate there were monies allocated for Exercises. However, the subgrantee did provide an AAR. Therefore, the Monitor requests that the subgrantee must provide an explanation in the Corrective Action Plan about the tabletop Exercises, the AAR and the allocation and reimbursement.

3. **Training:** Not applicable for Subgrantee (1 item).

4. **Planning:** Not applicable for Subgrantee (1 item).

- C. **Financial Management:** Subgrantee in compliance (13 items); Not applicable for Subgrantee (1 item).

1. **Accounting System:** Subgrantee in compliance (8 items).

2. **Distribution of Funds:** Subgrantee in compliance (1 item).

3. **Advance of Funds:** Not applicable for Subgrantee (2 items).

4. **Change Request/Modifications:** Subgrantee in compliance (2 items).

5. **Records Maintenance:** Subgrantee in compliance (1 item).

- D. **Fiscal: Personnel Services:** Subgrantee in compliance (5 items); Subgrantee not in compliance (1 item).

1. **Management and Administrative Services:** Subgrantee in compliance (2 items); Subgrantee not in compliance (1 item); Not applicable for Subgrantee (3 items)

- a. Allocation: Subgrantee in compliance (1 item).

- b. Allowable Costs/Activities: Subgrantee not in compliance (1 item).

City of Fresno UASI Monitoring Report

- D. 1. b. **Requirement:** Per the FY 2004-0014 Grant Guide on the UASI: "Eligible Management and Administration costs include:

- Management of the FY04 UASI grant.
- Implementation and administration of the Urban Area Homeland Security Strategy or the Transit Security and Emergency Preparedness Plan.
- Acquisition of authorized office equipment."

Finding #2: The subgrantee did not provide full supporting documentation for the reimbursement request period July 1, 2005 to September 30, 2005 for the expenditure(s) of \$61,755.

Action Required: The subgrantee must provide all supporting documentation for the expenditure(s) of \$61,755 in the reimbursement request period July 1, 2005 to September 30, 2005.

- c. Functional Timesheets: Subgrantee in compliance (1 item).

Note: Although the subgrantee submitted and the Program Monitor accepted the subgrantee's timesheet, the model of the timesheet is called into question as the information on the timesheet does not accurately include the duties. In this case, Office of Homeland Security (OHS) duties or any other duties are not indicated on the timesheet to account for all hours. The subgrantee must provide a detail worksheet that reflects.

- hours charged to the grant broken down by year, activity, & project;
- wage of each employee charged to the grant; and
- the benefits charged to the grant.

Although the Monitor did not issue a finding, the subgrantee will have to address further use or revision of their functional timesheet as it pertains to future OHS grants and provide a corrective action plan to ensure that in the future, it has a system in place that supports personnel charged to all Office of Homeland Security grants (allocation plan and/or functional timesheets)..

2. **Overtime/Backfill and/or CTO:** Not applicable for Subgrantee (3 items).

- E. **Fiscal: Procurement:** Subgrantee in compliance (5 items).

- F. **Fiscal: Equipment & Property Management:** Subgrantee in compliance (4 items); Subgrantee not in compliance (1 item).

City of Fresno UASI Monitoring Report

- F. 1. **Equipment Purchases:** Subgrantee in compliance (2 items); Subgrantee not in compliance (1 item).

- a. Allowable and Applicable Equipment: Subgrantee not in compliance (1 item).

Requirement: OMB Circular 87, Attachment A states in part that subgrantee may only purchase allowable and applicable equipment as listed in the Individual Grant Guides, Grant Agreements, or for those specifically allowed in the authorizing legislation or Office of Domestic Preparedness. Appendix A of the FY 2004-0014 Grant Guide (pages 39-56) identifies the equipment items that are authorized for purchase with these funds.

Finding #3: Three invoices were not among those submitted to the OHS: Invoice #77622 Cook's Communication Corp (\$1,143.07); Invoice #77146 Cooks Communication Corp. (\$1,645.94; and Invoice #347380 Zetron, Inc. (\$51,775.00). All total \$64,911.

Action Required: The subgrantee must provide the missing invoices listed along with any supporting documentation.

- b. Prior Approval and Acquisition: Subgrantee in compliance (1 item).
- c. Proficiency Training: Subgrantee in compliance (1 item).
2. **Property and Records keeping:** Subgrantee in compliance. (2 items).

Note: Based on the monitoring trip at the Fresno UASI site conducted by the Program Monitor and the letter dated July 24, 2008. At the request of the Program Monitor, the subgrantee provided digital photos of selected equipment as they were too numerous and spread out over Fresno County for the Program Monitor to physically inspect and count in one day.

- G. **Subgrantee Monitoring & Oversight:** Not applicable for Subgrantee (5 items).

Note: Per self-certification letter dated July 24, 2008.



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OFFICE OF HOMELAND SECURITY

December 23, 2008

Sgt. Ronald Grimm
Homeland Security Coordinator
Fresno Urban Area Security Initiative
Fresno, City of
2326 Fresno Street
Fresno, CA 93721

Subject: Corrective Action Plan for Monitoring Narrative Report #M08-026

Dear Sgt. Grimm:

As you are aware, the Office of Homeland Security (OHS) is responsible for monitoring subgrantees to ensure that all administrative, programmatic and financial responsibilities are fulfilled and in accordance with the individual grant guides and applicable rules and regulations.

We have completed our review of your submitted corrective action plan for fiscal year FY2004-0014 grant program and have concluded that you have implemented appropriate corrective action as prescribed in the Monitoring Narrative Report #M08-026. Therefore, no further action is required on your part.

Sincerely,

Brendan A. Murphy, Deputy Director
Division of Administration
Monitoring and Audits Unit

cc: Judy Garcia, City of Fresno UASI Police Grant Administrator
Sarah Knight, OHS Program Representative
Monitoring and Audits Unit, Chron File
Grants Management Unit, Chron File

Fresno UASI M08-026
Monitor Review Findings
Corrective Action Plan
(Revised December 16, 2008)

Finding #1: The subgrantee did not provide full supporting documentation for the reimbursement period July 1, 2005, to September 30, 2005, for the expenditure(s) of \$61,755.

CAP Required: The subgrantee must provide all supporting documentation for the expenditure(s) of \$61,755 in the reimbursement period July 1, 2005, to September 30, 2005, for the expenditure(s) of \$61,755.

Action Taken: The subgrantee stated that the total of \$61,755 was cumulative, that the amounts were \$23,287 and \$38,468. The subgrantee stated that the reimbursement was comprised of the current reimbursement period plus an adjustment for two prior claim periods. However, the Monitor could not locate those documents and must request that the subgrantee provide them. *The subgrantee re-submitted the documents on November 16, 2008, and explained how they cumulatively total to the expenditure of \$61,755.*

Finding corrected.

Finding #2: The subgrantee informed the Monitor that the timesheets used for tracking are not similar to functional timesheets. The style of timesheets utilized by the subgrantee resembles that of a Scan-Tron which resulted in a finding.

CAP Required: The subgrantee does not have to change the mode of time tracking and can provide the OHS with a separate detail worksheet that reflects the hours charged to the grant broken down by year, activity and project; the wage of each employee charged to the grant; and the benefits charged to the grant. The subgrantee must provide a CAP to ensure that in the future the subgrantee has a system in place that supports charged to all OHS grants.

Action Taken: The subgrantee did not provide either the separate detail worksheet to reflect time charged to the grant or provide a corrective action plan to ensure a proposed system. Both must be submitted. *In the documents re-submitted on November 21, 2008, the subgrantee stated the City of Fresno implemented a Corrective Action Plan to insure all personnel or management and administrative costs would be captured to generate time activity reporting system and daily time sheets. This would include a Project Module to capture personnel costs by activity, thus providing the capability to track all aspects of a project and associated activities, resources and budgeting. As the Monitoring Unit does not always require the actual timesheet itself, the CAP is acceptable to the Monitor.*

Finding corrected.

Finding #3: Three invoices were not among those submitted to the OHS: Invoice #77622, Invoice #77146 and Invoice #347380.

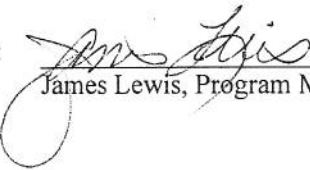
CAP Required: The subgrantee must provide the missing invoices listed along with any supporting documentation.

Action Taken: The subgrantee did provide Invoices #77622 (for Cook's Communication Corp) and Invoice #347380 (for Zetron, Inc.). However, per the subgrantee, Invoice #77146 for Cook's communication Corp. for \$1,645.94 is not found in their sub-ledgers even though it was listed. The subgrantee must ensure that there was not another invoice that should have been listed in its place as we still have \$1,645.94 that is now outstanding. *In the documents re-submitted on November 21, 2008, the subgrantee did provide those missing invoices thus satisfying the CAP.*

Finding corrected.

Of note, the Monitor received and reviewed Sgt. Ronald Grimm's statement that Fresno UASI did not conduct any exercises in the grant as confirmed by the Monitor.

Prepared by:

 James Lewis, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

12/16/2008
Date

Approved by:

Brendan Murphy, Deputy Director, OHS Administrative Division, Monitoring & Audits Unit

Date